

**Electronic Filing System (EFS) Data**  
**Electronic Patent Application Submission**  
**USPTO Use Only**

EFS ID: 11539  
Application ID: 09681742  
Title of Invention: A SYSTEM AND PROCESS FOR  
AUTOMATICALLY PROVIDING  
FAST RECOMMENDATIONS  
USING LOCAL PROBABILITY  
DISTRIBUTIONS  
First Named Inventor: David Chickering  
Domestic/Foreign Application: Domestic Application  
Filing Date: null  
Effective Receipt Date: 2001-05-30  
Submission Type: Utility Patent Filing  
Filing Type: new-utility  
Confirmation Number: 0  
Attorney Docket Number: MCS-006-01  
Digital Certificate Holder: cn=Mark Watson, ou=Registered Attorneys, ou=Patent and  
Trademark Office, ou=Department of Commerce, o=U.S.  
Government, c=US  
Certificate Message Digest: 911wO/8KxLHHmI1eCFSCmQ==  
Total Fees Authorized: \$804.0  
Payment Category: CC - Credit Card  
Credit Card Number: \*\*\*\*\*8040  
Expiration Date: 05312002  
Card Holder Name: Katrina A. Lyon  
RAM User ID: EFSPROD  
RAM Accounting Date: 2001-05-31  
RAM Sequence Number: 294809  
RAM Payment Status: RAM success

Postal Code:

93041

[illegible]

# TRANSMITTAL FORM



Electronic Version 1.0.2

Stylesheet Version: 1.0

Attorney Docket Number: MCS-006-01

## A SYSTEM AND PROCESS FOR AUTOMATICALLY PROVIDING FAST RECOMMENDATIONS USING LOCAL PROBABILITY DISTRIBUTIONS

First Named Inventor: David Maxwell Chickering

### SUBMITTED BY

Name:

Mr. Mark A. Watson

Registration Number:

41,370

Electronic Signature Mark: Mark A.  
Watson

Date Signed: 20010530

*I certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.*

*I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.*

### Attached Files:

bibd-transmittal

epaveapds.xml

fee-transmittal

epavefee.xml

[illegible][illegible][illegible][illegible]

**Comments:**

[illegible]

**DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name. I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first or joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**A SYSTEM AND PROCESS FOR AUTOMATICALLY PROVIDING FAST  
RECOMMENDATIONS USING LOCAL PROBABILITY DISTRIBUTIONS**

This declaration is of the following type:

☒ original      ☐ divisional      ☐ continuation      ☐ continuation-in-part

the specification of which  
(check one)

☒ is attached hereto

\_\_\_\_\_ was filed on filed \_\_\_\_\_, and assigned Serial No. \_\_\_\_\_  
and was amended on \_\_\_\_\_ (if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above;

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations §1.56(a);

I do not know and do not believe that the invention was ever known or used in the United States of America before my or our invention thereof;

I do not know and do not believe that the invention was ever patented or described in any printed publication in any country before my or our invention thereof or more than one year prior to this application;

I do not know and do not believe that the invention was in public use or on sale in the United States of America more than one year prior to this application;

The invention has not been patented or made the subject of any inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve months prior to this application; and

As to applications for patents or inventor's certificate on the invention filed in any country foreign to the United States of America, prior to this application by me or my legal representatives or assign:

XX no such applications have been filed, or  
\_\_\_ such applications have been filed as follows:

**PRIORITY CLAIM (35 U.S.C. §119)**

I/We hereby claim foreign priority benefits under Title 35, United States Code, §119, of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below, and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed.

**A. Prior foreign/PCT application(s) filed within 12 mos. (6 mos. for design) prior to this application, and any priority claims under 35 U.S.C. §119**

<u>Country/PCT</u>	<u>Application No.</u>	<u>Date Filed</u>	<u>Priority Claimed</u>
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NONE

<input type="checkbox"/> Yes	<input type="checkbox"/> No
<input type="checkbox"/> Yes	<input type="checkbox"/> No
<input type="checkbox"/> Yes	<input type="checkbox"/> No

**B. All foreign application(s), if any, filed more than 12 mos. (6 mos. for design) prior to this U.S. application**

Country: NONE  
Application No.:  
Filing Date:

**PRIOR U.S. APPLICATION(S) FOR WHICH BENEFIT  
UNDER 35 U.S.C. §119(e) or 35 U.S.C. §120 IS CLAIMED**

<u>Serial No.</u>	<u>Filing Date</u>	<u>Patented</u>	<u>Pending</u>	<u>Abandoned</u>	<u>Provisional Application</u>
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## POWER OF ATTORNEY

I hereby appoint the following attorneys and/or agents to prosecute this application and trans all business in the Patent and Trademark Office connected therewith:

Katie E. Sako	Registration No. 32,628
Daniel D. Crouse	Registration No. 32,022
Mark A. Watson	Registration No. 41,370
Richard T. Lyon	Registration No. 37,385

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Mark A. Watson  
(805) 278-8855

## DECLARATION

I/We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and, further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Sec. 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patents issued thereon.

Full name of sole or first inventor: David Maxwell Chickering

Inventor's signature: 

Date: 5/29/01

Residence: 1228 W Lake Sammamish Parkway NE  
Bellevue, WA 98008

Citizenship: United States

Post Office Address: 1228 W Lake Sammamish Parkway NE, Bellevue, WA 980

Full name of second inventor:

David E. Heckerman

Inventor's signature:

*[Signature]*

Date:

May 29, 2001

Residence:

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Bellevue, WA 98008

Citizenship:

United States

Post Office Address:

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Full name of third inventor:

Robert Rounthwaite

Inventor's signature:

*[Signature]*

Date:

May 29, 2001

Residence:

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Citizenship:

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(Declaration ends with this page)

# FEE TRANSMITTAL

Electronic Version 1.0.4

Stylesheet Version: 1.0

*Patent fees are subject to annual revisions on or about October 1st of each year.*

Large Entity

**TOTAL FEES AUTHORIZED: \$ 804**

## BANK (CREDIT) CARD INFORMATION:

Credit Card Number: 8040  
Expiration Date: 20020531  
Authorized Name: Katrina A. Lyon  
Billing Address: 93041

## BASIC FILING FEE

Fee Description	Fee Code	Fee Paid
Utility Filing Fee	101	\$ 710

Subtotal For Basic Filing Fee: \$ 710

## EXTRA CLAIM FEES

	Fee Code	Fee	Extra Claims	Fee Paid
Total Claims: 23	103	\$ 18	3	\$ 54
Independent Claims: 3	102	\$ 80	0	\$ 0

Subtotal For Extra Claims Fees: \$ 54

## ADDITIONAL FEES

Fee Description	Fee Code	Fee Paid
Recording Each Patent Assignment Per Property Fee	581	\$ 40

Subtotal For Additional Fees: \$ 40